



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



Bib Data Sheet

CONFIRMATION NO. 8962

<b>SERIAL NUMBER</b> 09/923,035	<b>FILING DATE</b> 08/06/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2164	<b>ATTORNEY DOCKET NO.</b> 17066/00103	
<b>APPLICANTS</b> John Nafeh, Portola Valley, CA; Kenton K. Yee, Stanford, CA;					
<b>** CONTINUING DATA *****</b> THIS APPLN CLAIMS BENEFIT OF 60/240,903 10/17/2000 OK <i>smg</i> AND CLAIMS BENEFIT OF 60/284,054 04/16/2001					
<b>** FOREIGN APPLICATIONS *****</b> NONE <i>smg</i>					
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED.. SMALL ENTITY **</b> ** 09/17/2001					
Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after met Verified and Acknowledged <i>allowance</i> Examiner's Signature <i>[Signature]</i> Initials <i>smg</i>		<b>STATE OR COUNTRY</b> CA	<b>SHEETS DRAWING</b> 6	<b>TOTAL CLAIMS</b> 95	<b>INDEPENDENT CLAIMS</b> 10
<b>ADDRESS</b> 26116					
<b>TITLE</b> Methods and apparatus for formulation, initial public or private offering, and secondary market trading of risk management contracts					
<b>FILING FEE RECEIVED</b> 1310	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		